

10/581669

AP3 Rec'd PCT/PTO 15 JUN 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Akihisa HONGO et al. : Mail Stop: PCT  
Serial No. NEW : Attorney Docket No. 2006-0835A  
Filed June 5, 2006 :

POLISHING APPARATUS AND  
SUBSTRATE PROCESSING  
APPARATUS  
[Corresponding to PCT/JP2005/003415  
Filed February 23, 2005]

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application PCT/\_\_\_\_\_; and/or
- ☐ each reference previously cited in prior parent application Serial No. \_\_\_\_\_.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

ATTACHMENT C

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

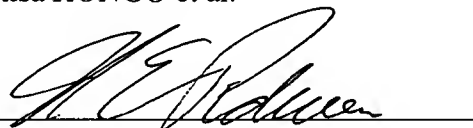
3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☒ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference:
    - US 2004/0106363 corresponds to JP 2003-234314
    - U.S. 5,733,181 corresponds to JP 7-124853
    - US 5,885,138 corresponds to JP 8-243916
    - US 5,885,138 corresponds to JP 2002-208572
    - US 5,509,850 corresponds to JP 7-164301
    - US 6,402,596 corresponds to JP 2001-205549
    - US 2003/0139049 corresponds to JP 2003-163188
    - US 2004/0185751 corresponds to JP 2004-241434
5. ☒ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Akihisa HONGO et al.

By



Nils E. Pedersen

Registration No. 33,145

Attorney for Applicants

NEP/krp  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
June 5, 2006

10/581669  
 APB Rec'd PCT/PTO 05 JUN 2006

FORM PTO 1449 (modified)

 U.S. DEPARTMENT OF COMMERCE  
 PATENT AND TRADEMARK OFFICE

 LIST OF REFERENCES CITED BY APPLICANT(S)  
 (Use several sheets if necessary)

Date Submitted to PTO: June 5, 2006

 ATTY DOCKET NO.  
 2006-0835A

 SERIAL NO.  
 NEW

 APPLICANT  
 Akihisa HONGO et al.

 FILING DATE  
 June 5, 2006

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/E.M./	AA	2004/0106363	6/2004	Ishii et al.			
	AB	5,733,181	3/1998	Hasegawa et al.			
	AC	5,885,138	3/1999	Okumura et al.			
	AD	5,509,850	4/1996	Morioka et al.			
	AE	6,402,596	6/2002	Hakomori et al.			
	AF	2003/0139049	7/2003	Nakamura et al.			
	AG	2004/0185751	9/2004	Nakanishi et al.			
	AH						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
/E.M./	AI	2003-234314	8/2003	JP				
	AJ	7-124853	5/1995	JP				
	AK	8-243916	9/1996	JP				
	AL	2002-208572	7/2002	JP				
	AM	2000-218497	8/2000	JP				
	AN	5-329759	12/1993	JP				
	AO	7-164301	6/1995	JP				
	AP	2001-205549	7/2001	JP				
	AQ	2003-163188	6/2003	JP				
	AR	2004-241434	8/2004	JP				

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AS	
--	----	--

EXAMINER

/Eileen Morgan/

DATE CONSIDERED

/Eileen Morgan/